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BADGING SYSTEM
Business Rules and Programming Requirements
[Post-Implementation Version]
A Combined Set of Documents

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Badging System Overview

A brief summary of requirements for programming personnel security and badging data on LANL's Lab-wide Systems Enterprise Information Applications.

Badge Types

The following Badge Types have been identified:

- DOE Standard Badge
  - ◆ LANL without expiration date
    - *UC Employees (U.S. citizens and cleared foreign nationals); various student programs; designated subcontractors (e.g., JCNNM; PTLA)*
  - ◆ LANL with expiration date
    - *All LANL and DOE/LAAO subcontractors (except designated subcontractors JCNNM and PTLA), associates, affiliate categories*
  - ◆ DOE/LAAO
    - *DOE Standard badge design specifications from LAAO distinguish Federal employees from DOE/LAAO contractors through the absence or presence of a "C" in Zone 2, indicating non-federal employee. There is no way, in EIA, to distinguish a LAAO subcontractor from a LANL subcontractor – it is not be possible to badge LAAO subcontractor employees differently from LANL subcontractor employees – they receive a badge with a LANL site code (CR).*
- Cleared Foreign National Visitor Badge
  - *DOE has determined that DOE cleared foreign national employees of DOE or DOE contractors will receive a DOE Standard badge. See also separate section on Visitor Badge. Although LANL has accepted this decision, not all DOE sites have – those that have not are issuing a site-specific badge to any cleared foreign national employees or workers at their site.*
- Uncleared Foreign National Badge
  - *The Uncleared Foreign National LANL employee (assignee) badge is distinguished from the uncleared Foreign National Visitor badge –through the use of solid versus striped red, respectively.*
- Cleared U.S. Citizen Visitor Badge
  - *Formerly called an Official Visitor Badge – see separate section on Visitor Badge Requirements*
- Uncleared U.S. Citizen Visitor Badge
  - *See separate section on Visitor Badge Requirements*
- Temporary Badge
  - *Different designed Temporary Badges will be issued for the following categories of badgeholders only:*
    - ✓ *DOE Standard Badge*
    - ✓ *Uncleared Foreign National Badge (employees only, not visitors)*
- Exchange Badge / Facility-Specific Badge
  - *This badge is either exchanged for with another badge for security/safety reasons, or given (but not exchanged) to identify individuals authorized to be in an area, either on a regular or occasional (visitor) basis.*
- Escort Required Badge (ERB)
  - *The Laboratory follows a new procedure for escorting uncleared individuals into security areas. This new procedure will eliminate the role of the Badge Office as the approving organization, but the Badge Office continues to be responsible for issuance of the generic ERB.*

Processing

The process of issuing each particular type of badge will be different. Each badge type will be identified below and the process for issuing a badge of that type will be defined.

Initialization

1. Operator must be "Authenticated."
   LANL will provide a module, written in C, that will perform this function. It is to be used in place of the Image Share Authentication (userid/Password). The call to the routine is:
   BOOL CALLBACK Labwide_Validation (HWND hwnd, LPSTR runenv, LPSTR znumber, LPSTR password, LPSTR errormessage)
   The first two parameters can be ignored. The third will contain the operator's Znumber upon return, the next will contain the Database password and the last will contain an error message assuming the login failed.
   If login failed (BOOL = FALSE) then do not continue, but allow operator to try again (up to three times).
   NOTE: Easy logon and authentication is essential.
2. Operator must have proper "Authority."
   Once the operator has logged on and the Z number has been provided, it can be used to locate the "Authorities" associated with the operator. This will be found in the Authority table in DB2 (LANL will provide the specifics). Allow the operator to continue only if the list contains the BGBDG authority.

GENERAL BUSINESS
RULES and REQUIREMENTS

List of general business rules and requirements over and above those that apply to specific types of badges or to particular topical areas.

1) No one is issued a badge that includes the person's name on it unless there is a complete and correct record for that person in the Laboratory's EIS.
   a) DEFINITION of "COMPLETE": The following fields must be present in the personnel record:
      i) Z number
      ii) Personal name, including nickname, if it will be used on the badge
      iii) Social Security Number (**U.S. citizen only**)
      iv) Citizenship
      v) Date of Birth
      vi) Employer
      vii) Type of Appointment (Employee type)
      viii) Termination Date (**if applicable**)
          The "termination date" here referred to is the EIS' TYPE OF APPOINTMENT END DATE FIELD
   b) If no Z number has been assigned, consult the Table of Z Number Assigners for a list of responsible Groups/Persons who assign Z numbers, according to type of appointment, category of person and direct the individual to the relevant HR Generalist or appropriate assistance.
2) Table of active badges an individual may simultaneously have:

	DOE Std	Std Tmp	Exch	Uncl US Visitor	Clr US Visitor	Unclr FN	Unclr FN Tmp	Clr FN Visitor
DOE Std	n/a		Y					
Std Tmp		n/a						
Exch	Y	Y	n/a	Y	Y	Y	Y	Y
Unclr US Visitor			Y	n/a				
Clr US Visitor			Y		n/a			
Unclr FN			Y			n/a		
Unclr FN Tmp			Y				n/a	
Clr FN Visitor			Y					n/a

NOTE:

1. *The indication of Y (=YES) does not mean that in all situations the issuance of the relevant badge is permissible, but only that it is not absolutely prohibited.*
2. ***The badge statuses INACTIVE and STORED are considered to be equivalent to the badge status ACTIVE, and thus no person can have more than one badge simultaneously with ANY of these statuses, per the table above.***

3) The first badge (that includes the person's name) ever issued to an individual can be only one of the following types, depending on the characteristics of the individual:

a) DOE Standard Badge
b) Visitor Badge:
   i) Cleared U.S. Visitor Badge
   ii) Uncleared U.S. Visitor Badge – Lab-wide
   iii) Uncleared U.S. Visitor Badge – Area specific
   iv) Cleared Foreign National Visitor Badge
c) Uncleared Foreign National Badge

4) Except for Exchange badges, no person can simultaneously have more than one **ACTIVE** badge of any single type.

5) An individual cannot be issued a badge if any badge already issued (including situations when there has been a break in active service with LANL) has the badge status **NOT ACCOUNTED FOR**.

6) A person can be badged at the clearance level which is currently granted for that person, or at a lower clearance level (down to uncleared); a person cannot be badged at a clearance level higher than that which is currently granted.

7) If encoded access is not requested, required, or appropriate, an individual will be issued a site-specific badge that does not have a magnetic stripe (this applies to both generic badges and badges with the individual's name on it)

8) Site specific badges have their own serial numbers (including a unique two-letter prefix for each type of badge).

9) Badges will stop being valid (i.e., **ACTIVE**):
   a) The first day after the expiration date on badges with an expiration date
   b) The first day after a personnel action indicating termination of Laboratory affiliation is processed, whether the badge has an expiration date or not
   c) Downgrade or suspension of clearance status
   d) Non-compliance with security training requirements as defined in the Employee Development System's (EDS's) Training Plan 729
   e) Other miscellaneous changes as spelled out in other parts of this document
   f) When a badge is no longer valid due to a) - c) directly above (or other less common conditions, as spelled out in other parts of this document):
      i) Badge status is set automatically to **NOT ACCOUNTED FOR**, if the previous status was **ACTIVE**;
      ii) Access status is set automatically to **INACTIVE**

10) Should an individual's access be suspended for any reason then S-3 must be notified and if the Access Status is **ACTIVE** it needs to be set to **INACTIVE** with a corresponding Access Status Reason.

11) The Badge Office will not honor requests to provide image files or produce printed images (e.g., Lock-Out/Tag-Out, special Group events, publishing in professional journals).

12) The following letter prefixes will be on badges, by type:
   a) DOE Standard Badge
      i) Los Alamos National Laboratory: **CR**
      ii) DOE Los Alamos Area Office: **CN**
      iii) Other DOE facilities being enrolled in access control systems must have a DOE site code (two-letter prefix portion of the Badge Serial number) that matches the allowable values from a table of permissible site codes.
   b) Temporary badges issued to DOE Standard badgeholders: **TM** (= 2000)
   c) Uncleared Foreign National badges: **FN** (= 0600)

d) Temporary badges issued to Uncleared Foreign National employees: **FT** (=0600)
e) Visitor badges: **OV** (= 1500) - This includes:
    i) Cleared U.S. visitors
    ii) Uncleared U.S. visitors
    iii) Cleared foreign nationals
f) Uncleared U.S. citizen Visitor (generic only) badges: **UV** (= 1500)
g) Exchange badges (individual and generic): **EX** (= 0000)
h) Escort Required generic badges: **ER**

1) Variations in the DOE Standard badge occur almost entirely in Zone 3. The only exceptions are that the badge serial number prefix used for DOE/LAAO federal employees and its subcontractors differs from that for LANL employees, contractors, etc., and that no **C** (indicating DOE contractor) appears in Zone 2 for badges issued to DOE/LAAO federal employees.

2) Before issuing a DOE Standard badge to an individual the following data items must be present in, display and allow operator view in the EIS (DB2) tables:
   a) Z Number
   b) Name
   c) Social Security Number
   d) Date of Birth
   e) Country of Current Citizenship
      > *A cleared foreign national Laboratory "worker" is issued a DOE Standard badge. The only difference is that the country of citizenship is displayed in Zone 3 – for a U.S. citizen, no country of citizenship is displayed.*
   f) Employer
   g) Termination date (mandatory for all EIS Person Types except LAB and XAP)
      > *The "termination date" here referred to is the EIS' TYPE OF APPOINTMENT END DATE FIELD*

3) Employment conditions:
   a) The individual is in an employee type category indicating s/he is employed by or doing work on behalf of LANL or DOE/LAAO – in EIS this is, with a few exceptions, all Person Types other than VIS (= VISITOR); the exceptions are:
      i) Person Type = EXT, CON, or VEN, if the employer has been specifically excluded
      ii) Cleared individuals whose clearance has been extended to LANL from another DOE site that holds the primary clearance
      iii) Person Type = AFF, but the individual is actually defined as a Visitor.
   b) If UC, the individual is in **HIRE** status, not any other status, such as **OFFER**.
      > *Because of workflow delays between HR-5 and BUS-1, individuals (most typically students) may be in hire status, but the EIS record has not been updated sufficiently quickly to verify this for badging purposes (i.e., the record indicates they are still in offer status). A provisional solution to this workflow has been developed: The badging system will accept an EIS record with Person Type = XAP and Type of Appointment = OFFER, but only if the individual is confirmed as an actual HIRE through HR-5's signature on Form 917 (DOE Standard Badge Request).*
   c) A person can only receive a LANL-issued DOE Standard badge if:
      i) employed or paid by LANL or DOE/LAAO
         > **EXCEPTION**: *As explained below under Clearance Badges, a LANL worker on an extended clearance from another site, will still only be badged as a cleared visitor.*
      ii) in hire status
      iii) cleared, LANL or DOE/LAAO must hold the interest in that person's clearance except for the following circumstances:

(1) UC Regents who have not had an opportunity to be badged by LLNL, which normally badges UC personnel with a DOE clearance held through the DOE Oakland Operations Office;

(2) A cleared employee of another government agency (OGA) such as CIA, FBI, who will be working undercover at LANL and to protect his or her cover or for other mandated reasons, must be issued a DOE Standard badge from LANL

d) Expiration date on the badge:

   i) Any person working for LANL under contract (individually or through employment with a subcontractor to LANL) or under agreement has an expiration date on the DOE Standard badge (whether cleared and uncleared) that:

   (1) Matches the expiration date of the contract/agreement or the individual's termination date (in that person's personnel record), whichever comes soonest (termination date or contract expiration date).
   This also applies to UC limited term appointments.

   (2) Exceptions to the rule in (1) above who will not have an expiration date on the badge are:

   (a) Employees of exempted subcontractors to LANL (at this time, JCNNM and PTLA)

   (b) Individuals in Laboratory student programs who are in "casual" hire status
   *Note: A change from present procedures is that DOE/LAAO subcontractor employee badges will indicate an expiration date, based on the expiration date of the contract with DOE/LAAO but the badge will bear a **CR**, not a **CN**, site code.*

   ii) Those who do not have an expiration date on the badge are:
   (1) UC "regular" employees,
   (2) Exceptions as listed in 3) d) i) (2) above

   iii) For special rules covering determining expiration date placed on badges of those holding clearances under more than one contract, *see* section on FOCI Requirements

e) Termination of Laboratory affiliation

   i) Laboratory workers without an expiration date on the badge: The DOE Standard badge will not be valid beginning the first day after a personnel action indicating termination of Laboratory affiliation is processed

   ii) Laboratory workers with an expiration date on the badge: the DOE Standard badge will not be valid beginning the first day after a personnel action indicating termination of employment or agreement, regardless of the expiration date on the badge

4) Badging Laboratory workers other than EIS Person Types = LAB, XAP

   a) If a clearance is involved, follow FOCI business rules (see separate section on FOCI)

   b) There must be a termination date in the record

   c) Exceptions

   i) Company codes can be set for specific companies that bypasses the FOCI check and the requirement that the EIS record have a future termination date

   ii) Company codes can be set to prevent issuance of a DOE Standard badge to any worker employed by that company

5) Clearance Badges - a badge can be issued as a Clearance Badge if all the following conditions are met:
   a) The clearance is held by DOE/AL on behalf of LANL

   One corollary of this business rule is that LANL does not issue a DOE Standard badge to anyone whose clearance is EXTENSION-EXT or EXTENSION-INT (clearance extended to LANL) – the individual is assumed to have a DOE Standard badge issued by his/her own DOE facility; if such a badge is not brought, the individual is badged as a visitor, following all the requirements for visitor badging.

   b) The Clearance Level is Q or L
   c) The Clearance Employer matches the EIS Employer
   d) The clearance is an "active" clearance based on Current Request Type and corresponding date, Clearance Level, Status, Clearance Employer and EIS Employer.

   If any problems exist, then display the following to the operator and allow the operator to QUIT without issuing a badge: Current Request Type and corresponding date, Clearance Level, Status, Clearance Employer and EIS Employer.

   e) Any individual whose EIS record has Person Type = CON, EXT, or VEN, individual's employing company must be FOCI-approved (*see* separate section of FOCI business rules).

   EIS is unable to distinguish between a LANL subcontractor employee and a LAAO subcontractor employee. It appears that it will be necessary to badge all subcontractor employees as if they worked for LANL – that is, they will receive a badge with a CO prefix, rather than a CN.

   f) The security education status is current, based on individual's situation and corresponding requirements (*see* separate section of Security Education requirements).

   If any problems exist, then display the needed explanatory information to the operator and allow the operator to QUIT without issuing a badge.

6) The current badge (or if there is no current badge, the last previously-issued badge) must not have a status of **NOT ACCOUNTED FOR**.

   If any problems exist, then display needed explanatory information to the operator and allow the operator to QUIT without issuing a badge.

7) Temporary badges (applies to two types of Temporary badges: those issued to DOE Standard badgeholders and to uncleared foreign national employees of LANL):
   a) Only issued to a person who has an **ACTIVE** LANL-issued DOE Standard badge (or uncleared foreign national badge and who is a LANL employee).
   b) When a Temporary badge is issued, the individual's DOE Standard badge status is changed to **INACTIVE** and a reason is captured/recorded.
   c) A Temporary badge is issued with a magnetic stripe (and encoded) only if the person requesting a Temporary badge presents valid photo-identification.
      i) If the person does not present valid photo-identification,
         (1) a Q-cleared person must vouch for a cleared individual;
         (2) a Laboratory worker without a clearance may vouch for an uncleared person
         (3) The Temporary badge issued is not encoded and will be printed on card stock without a magnetic stripe on the rear side.
   d) When a Temporary badge is returned and its corresponding DOE Standard badge is presented, the individual's DOE Standard badge status is changed to **ACTIVE** if all other requirements are met (e.g., clearance level, expiration date not passed, security education requirements fulfilled).

e) A Temporary badge is good for a maximum of 7 calendar days (it may be less) unless this is overridden for a longer period by an authorized operator (warnings must be issued).

f) If a person has been issued, within a rolling 12-month period, any combination of 2 Temporary badges or permanent badges to replace a badge reported lost, the next issuance of either a Temporary badge or a permanent badge (either a DOE Standard badge or an uncleared foreign national badge, as applicable to the situation) resulting from a previous badge reported lost, can only occur if:

   i) For the 3rd occurrence, the Group Leader must first request, in writing, that a badge be issued.

   ii) For the 4th occurrence, the Division Director must first request, in writing, that a badge be issued and describe a corrective action plan for the badgeholder.

   iii) For the 5th and all additional occurrences, no badge is issued until a security investigation has been completed by the S-6 Information Security Team and approval given to issue a badge.

   > *NOTE: A badge that is reported lost as a result of being stolen does not count towards the policy regarding Temporary and Lost badge replacement issuance. However, the number of times a badgeholder reports stolen badges can be tracked.*
   > *NOTE: In a situation where a Temporary badge issued while an individual looks for a misplaced DOE Standard badge, which ultimately is reported Lost and a replacement DOE Standard badge must be issued, is counted as one, not two, incidents, in terms of number of occurrences, and corresponding consequences, as defined directly above.*

8) Badge design and format: based on a person's characteristics, get correct Badge format (*see DOE's <u>Guide</u>, aka <u>Functional Requirements Document</u>*, for design specifications), set reason code, get Image, set encoding, notify Access Control and print badge.

   a) Zone 1 elements and requirements:

      i) DOE Standard badge must read as follows:
         U.S. Department of Energy
         Albuquerque Operations Office

      ii) In contrast, LANL site-specific badges must read as follows:
         Los Alamos National Laboratory

      iii) Badge serial number:

         (1) The badge serial number (two-letter prefix followed by five-digit number) must be unique for each physical badge issued.
            > *EXCEPTION: If a badge is reprinted due to physical damage, it is reprinted with the same badge serial number as the original. This is only done if the damaged badge is presented for physical destruction at the time it is reprinted.*

         (2) The only prefix for the badge serial number on a DOE Standard badge issued to LANL employees, its subcontractors, affiliates, etc., is **CR**
            > *LANL has requested of DOE/AL that additional 2nd letters in the two-letter prefix (known as the "site code") be reserved for LANL use. This request has been turned down until the **CR** series is close to exhaustion.*

         (3) The only prefix for the badge serial number on a DOE Standard badge issued to DOE/LAAO employees, its subcontractors, affiliates, etc., is **CN**
            > *NOTE: There appears to be no way to issue a **CN**-prefixed badge to DOE/LAAO subcontractor employees because EIA is unable to distinguish between a LANL subcontractor employee and a DOE/LAAO subcontractor employee.*

   b) The following are key elements of Zone 2 of the badge

      i) Clearance Level

ii) If badged at clearance level "Q" then badge color is blue; if badged at clearance level "L" then badge color is yellow; else badge color is gray - once clearance level is determined, then badge clearance level *can* be lower, but *never* be allowed to be at a higher level.

iii) Correspondingly, the badge will show the letter Q for a Q clearance, the letter L for an L clearance, and nothing if uncleared

iv) Name
   (1) A person's name is accepted for badging purposes, only as it appears in the EIA
   (2) The component parts of a name are:
       (a) First name
       (b) Middle name or initial
       (c) Last name
       (d) Nickname
       (e) Surname (e.g., Jr., III)
       (f) Only the first and last name components are required for badging
   (3) Provided all component parts of a name are present, options for printing a name on a badge are as follows (in all cases the presence of the last or family name is a given):
   (4) First name, middle initial
   (5) First name, middle name
   (6) First initial, middle name
   (7) Nickname
       NOTE: *A name can be formatted on the badge with first and/or first and middle initials ONLY if the name was set up in EIS that way. The surname will always appear as part of the name.*

v) Except for federal employees of DOE/LAAO, all badges will include a C for "contractor"

c) Zone 3 requirements for DOE Standard badge (*see* separate section on Zone 3 & Rear Side requirements)

d) Reverse side of badge (*see* separate section on Zone 3 & Rear Side requirements)

Uncleared Foreign Nationals
Database and Badging Requirements

CRITICAL DATA

The following data elements constitute the record kept by Foreign Visits & Assignments (FV&A) Team of the Internal Security Office (ISEC) for an uncleared foreign national. Unless a field is identified as **OPTIONAL** it must be present in order for the Badge Office Team to issue an uncleared foreign national badge:

a) FULL NAME

The use and validity of an Americanized name/nickname will follow the same rules, standards and policies as established for nicknames of U.S. citizens being issued a DOE Standard badge

b) Z NUMBER

c) SSN [**Optional**]

d) DOB (most countries display dates in ddmmyy format) [mm/dd/ccyy]

e) PLACE OF BIRTH: CITY+PROVINCE/REGION [**Optional**]

Free text field with a maximum of 60 characters.

f) PLACE OF BIRTH: COUNTRY [Controlled List]

g) COUNTRY OF CITIZENSHIP [Controlled List]

The database must be able to handle dual citizenship. The primary country of citizenship will be entered into UNL, any secondary citizenship will be entered into UFN . For the purpose of this program, primary country of citizenship is the country for which the passport contains the U.S. visa for the visit or assignment.

h) PASSPORT NUMBER

This field needs to repeat, so that for dual citizens, the passport number of each passport (from the countries of citizenship) can be recorded.

i) VISA TYPE [Controlled List]

The Visa Type (and correspondingly, the VISA EXPIRATION DATE) are repeating fields for a single visit/assignment.

j) VISA EXPIRATION DATE [mm/dd/ccyy]

k) RESIDENT ALIEN REGISTRATION NUMBER [**Mandatory if applicable**]

It is not permissible to have both a VISA TYPE and a RESIDENT ALIEN REGISTRATION NUMBER simultaneously. The VISA TYPE/VISA EXPIRATION DATE are mutually exclusive with the RESIDENT ALIENT REGISTRATION NUMBER.

l) MOST RECENT ORGANIZATIONAL AFFILIATION

*Employer, University, Research Institute, etc. This is meant to be either the last organizational affiliation prior to coming to LANL or the current affiliation while at LANL (e.g., a graduate student who continues to maintain an affiliation with the university where s/he intends to obtain an advanced degree. **NOTE**: There is currently no way to indicate a non-LANL affiliation in the EIS system used for UC employees. Depending on the type of uncleared foreign national, it will be necessary to enter this data into both UNL and UFN.*

m) MOST RECENT ORGANIZATIONAL AFFILIATION ADDRESS

This is a free text field of up to 256 characters, containing the complete street address, city and province/state/region.

n) MOST RECENT ORGANIZATIONAL AFFILIATION COUNTRY [Controlled List]

o) EMPLOYEE TYPE

Position at LANL, e.g., Postdoctoral, GRA, LTVSM, TSM, etc, or Visitor. Use standard EIS Employee Type designations.

p) AREA OF EXPERTISE OR DISCIPLINE [Controlled List]

Use the listing that HR uses of disciplines for individuals with a degree. This field will have a maximum of 80 characters.

q) SEX

NOTE*: Current Laboratory policy is that this field, as well as DOB and citizenship (also SSN for certain categories), is not mandatory because of privacy regulations. All of these fields are required for managing the uncleared foreign nationals program; all but SEX are required to issue other types of badges. It is proposed that these fields be made mandatory in the EIS.*

r) BEGIN DATE OF VISIT OR ASSIGNMENT [mm/dd/ccyy]

s) END DATE [mm/dd/ccyy]

t) INTERMITTENT OR CONTINUOUS ASSIGNMENT

An assignment is a stay an approval period of greater than 30 days. If the approval period is greater than 30 days, it is necessary to indicate whether the assignment will be intermittent or continuous. Use radio buttons to indicate whether the assignment is intermittent or continuous

u) BEGIN DATES FOR VISIT/ASSIGNMENT [mm/dd/ccyy]

This must be a repeating field to track multiple begin dates for a series of visits within a single assignment period

v) END DATES FOR VISIT/ASSIGNMENT [mm/dd/ccyy]

This must be a repeating field to track multiple end dates for a series of visits within a single assignment period – each end date must be linked to the corresponding begin date

w) ACCESS AREA AUTHORIZATION REQUESTED

Use radio buttons to indicate whether access requested is to Non-Security Areas or a Security Area

x) TECHNICAL AREA ACCESS AUTHORIZATION REQUESTED

List each Technical Area and Building where access authorization is requested in non-security areas. List each Technical Area, Building, and Room Number in security areas.

y) DATE ACCESS AREA AUTHORIZATION REQUESTED [mm/dd/ccyy]

z) ACCESS AREA APPROVED

Indicates through use of radio buttons whether access has been approved for non-security areas or for security areas.

aa) TECHNICAL AREAS APPROVED

List of each Technical Area and Building where access authorization has been approved in non-security areas. List of each Technical Area, Building and Room Number in security areas for which access authorization has been approved.

bb) DATE ACCESS AREA AUTHORIZATION APPROVED [mm/dd/ccyy]

cc) HOST NAME

dd) HOST Z NUMBER

ee) HOST TELEPHONE NUMBER

ff) CO-HOST NAME

gg) CO-HOST Z NUMBER

hh) CO-HOST TELEPHONE NUMBER

ii) POC NAME

jj) POC Z NUMBER

kk) POC TELEPHONE NUMBER

ll) LANL HOSTING ORGANIZATIONAL UNIT (Group, Program, Office)

This Group, etc. must match that of the host.

mm) FUNDING ORGANIZATION – LANL or external organization

Free text – upper limit of 80 characters.

nn) SUBJECT/S TO BE DISCUSSED
Free text. This must be a detailed description of subjects required. Upper limit of 256 characters.

oo) PURPOSE OF VISIT
Free text. This must include a detailed description of work to be done and the benefit to LANL and the DOE. Upper limit of 500 characters.

pp) ADMINISTRATIVE PROGRAM TYPE/AFFILIATION [Controlled List]
Examples are LDRD, IAEA, CRADA association. Complete list to be provided by ISEC.

qq) INTERNATIONAL AGREEMENT TITLE [**Mandatory if applicable**]

rr) COMMENT
Free text field used for internal and administrative purposes, including providing information to the Badge Office Team. The Badge Office Team is always expected to consult this field for relevant guidance or badging requirements before issuing a badge. Upper limit of 80 characters.

BADGE DESIGN & MANAGEMENT

1) All uncleared foreign national badges must use the color red in both Zones 1 and 2.
2) Solid red background is used for assignees (i.e., employees), striped red for visitors.
3) The country of citizenship appears in the bottom center ofZone 3.
4) The badge will **not** have an indicator that the badgeholder is a citizen of a sensitive country.
5) If the uncleared foreign national is a visitor, the organizational affiliation will appear in Zone 3.
6) Inaccurate data must be reported to the FV&A team before a badge can be issued.

BUSINESS RULES

1) All uncleared foreign nationals (both assignees and visitors) must be assigned a Z number – no uncleared foreign national will be badged until a Z number is assigned.
2) Name on the badge must be as established in EIS.
3) Name established in EIS must be based on the name in the individual's current passport, romanized, if necessary, for non-Latin scripts.
4) A new image must be on file for each approval period
   NOTE: In the Loronix Information System badging system, every time a badge of any type with a new badge serial number is issued, a new image must be taken, unless the operator selects "Import Image." This option should not be used for uncleared foreign nationals unless FV&A specifically so indicates and approves.
5) For uncleared foreign nationals, only a current passport or resident alien card will be accepted for photo and other identification purposes, or a current LANL-issued uncleared foreign national badge, if the individual is in possession of such.
6) The passport number recorded into the Uncleared Foreign National database for the visit/assignment must match the passport number (and country) presented for photo-identification purposes.
7) For dual citizens, the "primary" country of citizenship will be that country for which the passport was used to obtain the visa for the visit/assignment.
8) The end date of the visit/assignment cannot be more than one year beyond the begin date.
9) Each badge will bear an expiration date in Zone 3, not to exceed the approval period of the visit or assignment (which cannot be greater than one year).
10) Whether an assignment is continuous or intermittent, the badge will always be issued with an expiration date matching the end date of the assignment.

11) No uncleared foreign national can have more than one active LANL-issued uncleared foreign national badge.
12) Individuals from sensitive countries MUST surrender their badge to FV&A for those periods that are outside their intermittent visit dates. The host must ensure that this requirement is fulfilled.
13) Each badge issued to an uncleared foreign national must have a unique badge serial number (e.g., a two-letter prefix plus 5 digits).
14) Rules for number of issuances of temporary and replacement of lost badges are identical to the rules for DOE Standard badgeholders.
15) A lost badge must be inactivated before a new one is issued.

Required data for all visitors are:
- Z number
- Personal name, including nickname (latter is optional)
- Citizenship
- Date of Birth
- Social Security Number (U.S. citizen only)
- Employer / Organizational affiliation
- Current clearance - DOE, DoD (also for foreign nationals, can be CLEARED-NOT KNOWN)
- Authorized start date
- Authorized end date
- Host Z number (repeating field) + display telephone number
- POC Z number (repeating field, linked to Host Z number) + display telephone number

If the visit is a classified visit then include:
- Badge activation date (may reflect actual on-site visit start date or authorized start date)
- Badge expiration date (may reflect actual on-site visit end date or authorized end date
- Purpose of visit (detailed, free text – maximum of 255 characters)
- Source Document number
  This is the Badge Office file number stamped on the visit request document submitted from another agency to the Badge Office
- Classified access (classification level, classification category, weapon data /Sigma):
  - ❖ Requested
  - ❖ Granted
- CNWDI briefed? (Y/N)
- Visit in support of a Reimbursable Program? (Y/N)
- Reimbursable Program Number (if yes)
- If citizenship non-U.S.:
  - ❖ AVIS no.
  - ❖ MV no.
    For a non-U.S. citizen visitor, one of these two values must be provided

Business Rules:

1) If on-site duration is
   a) Greater than 10 working days: then a photo badge and Visitor GET training are required.
   b) Less than 10 working days, then a photo badge is optional
      > *NOTE: The actual rule is that visits of greater than 10 working days in a single calendar year require GET training and a photo badge. If a series of brief visits is made, each less than 10 days, but cumulatively greater than 10 days, it would be helpful to have the system track this*

2) For a person to be treated as, and badged as, a cleared visitor, they must NOT have a clearance held on behalf of LANL (clearances extended to LANL do not qualify as a clearance held on behalf of LANL). EIS characteristics for determining visitor status are one of the following:
   a) Person Type = VIS
   b) Clearance System shows an active EXTENDED clearance –the Person Type value does not matter

3) Default the badge expiration date to the actual on-site visit end date but permit override up to the Requested/Approved visit end date.

4) Badge issued will not include a magnetic stripe if encoded access (security area, property-protected area) is not requested by the host

5) Classified access granted:
   a) Determines color coding on badge, and is not necessarily equivalent to the DOE clearance level or corresponding level of another agency that the person has (e.g., a person may have the equivalent of a DOE Q clearance, but if the classified access approved for the visit would require only a DOE L clearance if the person worked for DOE, then the color coding of the badge will be that of a DOE L)
   b) Classified access granted is shown on the reverse side of the badge:
      i) Classification level and category are combined (e.g., SRD, CNSI)
      ii) Weapon data is shown after the classification level and category, with a space between the former and the weapon data (e.g., SRD NWD, TSRD 1,11) where the numbers reference the Sigma approvals and NWD = No Weapon Data – used only with classified access of SRD and TSRD.

6) Badge expiration date on a visitor badge can not be more than one year from the visit start date

7) Uncleared U.S. citizen visitors who will be badged do not need to be tracked in the badging system for each actual on-site visit

8) The clearance level sent to S-3 on an encoded cleared visitor badge will be determined as follows:
   a) Cleared U.S. visitor granted SRD or TSRD classified access: **Q**
   b) Cleared U.S. visitor granted all other classified access but SRD or TSRD: **L**
   c) Cleared foreign national visitor, regardless of classified access granted: **U**
      > *NOTE: If the host does not request that the badge be encoded by the Badge Office, the above becomes moot.*

1) There are a number of changes that were needed in the Support Tables having to do with Request Types and associated Actions.
    a) Split TRANSFER into three types: TRANSFER-EXT, TRANSFER-INT, and TRANSFER-LANL
    b) Split EXTENSION into two types: EXTENSION-EXT and EXTENSION-INT
    c) Add three new Request Types:
        i) ACCESS SUSPEND/PR and ACCESS SUSPEND/SA
            This will be used when access has been temporarily suspended into LANL security areas (SA) or onto all LANL property (PR), without a formal clearance suspension, until an investigation (normally within a short time period) can be completed. The result will be either restoration of access, or action that will formally result in the suspension, administrative termination, revocation, etc., of the individual's clearance.
        ii) ACCESS RESTORED
            When/if security access is restored, it will be noted by use of this Request Type. Note that the ACCESS RESTORED request type cannot exist without a prior ACCESS SUSPENDED.
    d) Add Request Type, DUAL
        The intent of this Request Type is to permit tracking multiple clearance interests (i.e., multiple subcontractor employers which each, separately, hold a clearance interest for the individual. Two business rules will be implemented when this Request Type is created:
        1. When a clearance record for an individual is developed, the "primary" employer for clearance interest purposes, will be the one which is on file first – and it will be tracked in the system the same way as a single clearance for an individual.
        2. Any change in the clearance history for the "primary" clearance interest holder automatically requires a corresponding change in any existing dual clearance interest holders -–the primary and duals must always be changed together.
    e) Make the following Request Types a specific DETAIL instead:
        i) Change of Station
        ii) Leave of Absence
        iii) Name Change
    f) Remove CHANGE IN MARITAL OR CO-HABITATION STATUS from being included under NAME CHANGE and permit it as a new separate DETAIL called MARITAL/CO-HAB
    g) Expand the permissible "Detail" options that go with the Clearance Request Type TERMINATION, to be able track the Security Termination Statement (STS) process, covering the following possibilities:
        i) STS/wSig =   STS process carried out and form signed by the individual
        ii) STS/woSig =   STS process carried out with the Personnel Security Team having signed in the absence of the individual's signature
            Related to this, a new badging business rule has been approved: if a cleared individual shows a TERMINATION Request Type with the Detail STS/woSig, the following badging impacts will occur:

1. *If the individual is not working in any other capacity for LANL, the individual cannot be badged again (if returning to LANL) until the incomplete STS process is completed;*
2. *If the individual continues to work for the Laboratory, the existing badge will be inactivated, and access suspended (if cleared, to security areas and property-protected areas; if uncleared, only to property-protected areas).*

h) Change the name of the CLEARANCE STATUS field to TYPE STATUS
2) The initial (default) TYPE STATUS for **all** CLEARANCE STATUSes is APPLIED
3) Permit only certain Statuses to be entered for specific Request Types (supported by the use of drop-down menus)
4) The level at which a Clearance was APPLIED must be the same as was GRANTED.
5) Provide editing capability for the clearance number
   NOTE: Related to this, it was agreed to pursue the possibility of LANL generating barcoded clearance grant number labels that could be pasted on the QNSP and directly barcoded into the Clearance System database. This is, in theory, feasible, since LANL is assigned whole blocks of sequential numbers, based on a "start" number and an "end" number.
6) Change Employer Names for the following Employer Codes:
   a) Code 65: change from Los Alamos National Laboratory to UC
   b) Code 66: change from Affiliate to UC Affiliate
7) The "Clearance Grant" letter generated from the system needs the following enhancements:
   a) Ability to e-mail the letter automatically from the Clearance System
   b) Option to select from several letter formats, depending on the action taken (a better enhancement would be to have the system "know" what letter to generate based on a Request Type/Status action;
   c) Indicate the security education date in a person's letter by which the most relevant security education requirement must be met in order for that individual to be badged.

BASIC BUSINESS RULES

1) The ending, inactivation, or suspension of any existing clearance will be shown by using a separate Request Type appropriate to the circumstances, e.g., preceding a TRANSFER-LANL there will always be a TERMINATION of the clearance held by the employer the individual has transferred *from*.
2) When the Request Type is set to ACCESS SUSPENDED with the corresponding Status set to COMPLETE, then:
   a) Set Badge Status to **NOT ACCOUNTED FOR** if the Badge Status is **ACTIVE**
   b) Set Access Status in the Badge Database to one of two values (the final set of Access Status values has not yet been finalized):
      i) No Security Areas Access
      ii) *This is the default setting unless specifically overridden, or if other business rules prevent issuance of an uncleared badge during the period of security area access suspension.*
      iii) No Laboratory Property Access
   c) Notify S-3 to remove access
3) When the Request Type, subsequent to an ACCESS SUSPENDED is set to ACCESS RESTORED with the corresponding Status set to COMPLETE, then:
   a) Release badge to badgeholder if the cleared badge is presented in person by the badgeholder's manager with the badgeholder present and set Badge Status to ACTIVE [this is based on the individual's manager or S-6 having held the cleared

badge of the person whose access was suspended and no other badge having been issued in the interim]

b) Issue new clearance badge to badgeholder if uncleared badge issued during access suspension period, only if the uncleared badge is presented to the Badge Office for destruction

> ***NOTE****: On a related matter, it is critical that Laboratory managers inform S-6 in advance of any intent to take a badge away from a badgeholder, so that S-6 can update the Clearance System with an ACCESS SUSPENDED prior to the affected badgeholder coming to the Badge Office to claim a lost badge and requesting issuance of a replacement clearance badge*.

4) When the Request Type is set to any of the following:
a) SUSPENDED
b) REVOKED
c) ADMINISTRATIVE TERMINATION
d) DOWNGRADE

   then:
   i) Set Badge Status to **NOT ACCOUNTED FOR** if the Badge Status is **ACTIVE**
   ii) Set the Access Status in the Badge Database to No Security Area Access
   iii) Notify S-3 to remove access

5) When the Request Type is set to REINVEST SUSPEND (and provided the Badge Status is ACTIVE) and the TYPE STATUS is set to
a) COMPLETE
   i) Make no change to the Badge Status
   ii) Change the Access Status to INACTIVE
b) WITHDRAWN
   i) Make no change to the Badge Status
   ii) Change the Access Status back to ACTIVE

6) When the DETAIL is NAME CHANGE then:
   i) Set Badge Status to **NOT ACCOUNTED FOR** if the Badge Status is **ACTIVE**
   ii) Set the Access Status in the Badge Database to No Security Area Access
   iii) Notify S-3 to remove access

7) If a cleared individual shows, in the Clearance System, a TERMINATION Request Type with the Detail **STS/woSig**, one of the following badging impacts will occur:
a) If the individual is not working in any other capacity for LANL, the individual cannot be badged again (if returning to LANL) until the incomplete STS process is completed
b) If the individual continues to work for the Laboratory, the existing badge will be inactivated, and access suspended (if cleared, to security areas and property-protected areas; if uncleared, only to property-protected areas).

EIS CLEARANCE SYSTEM
Clearance Request Types and Clearance Statuses
Enhanced List with Definitions
[This list reflects proposed changes to the Clearance System that are required to implement a new Badging System]

REQUEST TYPE	DEFINITION	REQUEST TYPE STATUSES *
Access Restored	Access previously suspended (either Access Suspend/PR or Access Suspend/SA has, after investigation, been restored	Complete
Access Suspend/PR	An internal (LANL) suspension of access anywhere on Laboratory property –security areas, property protected areas and open areas by a person otherwise holding an active clearance	Complete
Access Suspend/SA	An internal (LANL) suspension of access to security areas by a person otherwise holding an active clearance	Complete
Admin Term	Administrative Termination - DOE withdrawal of an existing active clearance (typically based on lack of cooperation by the subject or on rare occasion others)	Complete
Downgrade	Q clearance to L – depending on the situation, may be approved at LANL, or may require DOE approval	Cleared Granted Inactive
Dual	Used for a 2nd clearance held on behalf of an individual's 2nd LANL employer. The 2nd clearance may be at the same or a different level from the 1st clearance. If the 1st and 2nd clearances are at different levels, whichever is higher governs.	Cleared Inactive
Extension-Ext	Clearance interest is held by another DOE facility outside the Albuquerque Operations Office's jurisdiction, but the clearance has been approved for use at LANL	Granted Denied Inactive Withdrawn
Extension-Int	Clearance interest is held by another DOE facility within the Albuquerque Operations Office's jurisdiction, but the clearance has been approved for use at LANL -- LANL does not issue a DOE Standard badge to holder.	Cleared Inactive Withdrawn
Initial	New clearance for someone at LANL who has **never** previously held a DOE L or Q clearance.	Granted Denied Inactive Withdrawn
Reciprocal	Conversion of an **active** DoD clearance to the equivalent DOE clearance (TS >> Q, S >> L)	Granted Denied Inactive Withdrawn
Reinstate	Clearance for someone at LANL who has previously held a DOE clearance at LANL or at another DOE facility **at the same level**.	Granted Denied Inactive Withdrawn
Reinvest Suspend	Reinvestigation suspended as a result of late submission by clearance holder of required reinvestigation package	Complete Withdrawn
Reinvestigation	DOE-mandated 5-year recertification of a Q clearance or 10-year recertification of an L clearance.	Complete Withdrawn
Reportable Info	Incident report (i.e., derogatory information) forwarded to DOE based on specific criteria.	Complete
Restoration	Reactivation by DOE of a suspended clearance.	Granted
Revocation	DOE formal determination to **permanently** terminate a clearance (i.e., the clearance holder will be required to pursue a successful formal restoration process if the clearance is ever to be granted again).	Complete
Special Request	DOE-initiated special reinvestigation based on information coming to DOE's attention	Complete Withdrawn
Suspension	DOE temporary removal of a clearance pending a formal	Complete

	administrative review process, the result of which is either revocation or restoration of the clearance.	
Termination	Ending of a clearance because of (1) termination of employment, (2) change of LANL employer, or (3) change of job duties	Complete
Transfer-Ext	Primary clearance interest is moved from another DOE facility to DOE/AL on behalf of LANL -- LANL policy is that it will issue a DOE Standard badge to holder once clearance transfer is completed.	Granted Denied Inactive Withdrawn
Transfer-Int	Clearance interest changed within DOE/AL from another facility to LANL (including LANL subcontractor, etc.)	Cleared Inactive
Transfer-LANL	Clearance interest changes within LANL: from one LANL subcontractory to another, or LANL employment type to another	Cleared Inactive
Upgrade wo/Q	L clearance to Q when individual has never previously had a Q clearance	Granted Denied Inactive Withdrawn
Upgrade w/Q	L clearance to Q when individual had been previously downgraded from a Q. Such an upgrade does not affect the allocated quota of Q clearances and is commonly known as a "reinstatable Q."	Granted Denied Inactive Withdrawn

* *NOTE: The initial (default) Type Status for ALL Request Types is APPLIED.*

REQUEST TYPE STATUS	DEFINITION	APPLICABLE REQUEST TYPES
Applied	The initial (default) status to which ALL Request Types are set. (NOTE: For a clearance request also means that the request is in process at DOE/AL but has not yet been approved.)	ALL (default value)
Cleared	Internal (S-6 Personnel Security Team) LANL approval of any request type not requiring DOE/AL approval or as a preliminary step prior to DOE/AL approval	Downgrade Dual Extension-Int Transfer-Int Transfer-LANL
Complete	Applicable request type(s) has been completed	Access Restored Access Suspend/PR Access Suspend/SA Admin Term Reinvest Suspend Reinvestigation Reportable Info Revocation Special Request Suspension Termination
Denied	DOE/AL formal determination to not grant an initial clearance	Extension-Ext Initial Reciprocal Reinstate Transfer-Ext Upgrade wo/Q Upgrade w/Q
Granted	Request type has been approved by DOE/AL	Downgrade Extension-Ext Initial Reciprocal Reinstate Restoration Transfer-Ext Upgrade wo/Q Upgrade w/Q
Inactive	Indicates that a Request Type that was previously "active" (either CLEARED or GRANTED) is no longer active.	Downgrade Dual Extension-Ext Extension-Int Initial Reinstate Reciprocal Transfer-Ext Transfer-Int Transfer-LANL Upgrade w/Q Upgrade wo/Q

Withdrawn	LANL requesting organization terminates its interest in the clearance it has requested while that clearance is being processed for approval OR (less commonly) termination of the requesting organization's clearance interest after a clearance suspension (which ends the DOE's administrative review process).	Extension-Ext Extension-Int Initial Reciprocal Reinstate Reinvest Suspend Reinvestigation Special Request Suspension Transfer-Ext Transfer-Int Transfer-LANL Upgrade wo/Q Upgrade w/Q

REQUEST TYPE	REQUEST STATUS	APPLICABLE BUSINESS RULES
Access Restored	Complete	Rule Cluster **C**
Access Suspend/PR	Complete	Rule Cluster **B**
Access Suspend/SA	Complete	Rule Cluster **B** >> **E**
Admin Term	Complete	Rule Cluster **B**
Downgrade	Cleared Granted	Rule Cluster **B** >> **E**
Dual	Cleared	If 2nd clearance at same level as 1st: Rule Cluster **A** If 2nd clearance at a higher level than 1st: Rule Cluster **C**
Extension-Ext	Granted	Issue Cleared U.S. Visitor badge only if individual does not present a DOE Standard badge from another facility and is a U.S. citizen
Extension-Int	Cleared	Issue Cleared U.S. Visitor badge only if individual does not present a DOE Standard badge from another facility and is a U.S. citizen
Initial	Granted	Rule Cluster **C**
Reinstate	Granted	Rule Cluster **C**
Reinvest Suspend	Complete	Rule: Cluster **F**
Reinvestigation	Complete	Rule Cluster **A**
Reportable Info	Complete	Rule Cluster **A**
Restoration	Granted	Rule Cluster **C**
Revocation	Complete	Rule Cluster **B**
Special Request	Complete	Rule Cluster **A**
Suspension	Complete	Rule Cluster **B**
Termination	Complete	Rule Cluster **B** + Note rules if the value of DETAIL is **STS/woSig**
Transfer-Ext	Granted	Rule Cluster **C**
Transfer-Int	Cleared	Rule Cluster **C**
Transfer-LANL	Cleared	Rule Cluster **B** >> **C**
Upgrade w/Q	Granted	Rule Cluster **A** >> **C**
Upgrade wo/Q	Granted	Rule Cluster **A** >> **C**

Rule Clusters:

A = No immediate effect on badging or access control

B = ACCESS CONTROL: Notify S-3
ACCESS CONTROL: Set Access Status to **INACTIVE**
BADGE: If Badge Status = **ACTIVE**, change to **NOT ACCOUNTED FOR**

C = BADGE: Issue DOE Standard badge up to level of clearance / Laboratory Form 917 required

D = BADGE: Issue DOE Standard badge at L level / Laboratory Form 917 **NOT** required

E = BADGE: Issue uncleared DOE Standard badge / Laboratory Form 917 **NOT** required

F BADGE: Set Access Status to **INACTIVE**
If Badge Status = **ACTIVE**, do not change

NOTES

1. Security Education rules not covered in this table
2. If issuing a new badge is a permissible option, all other rules pertaining to issuing that badge must be met
3. If a Request Type/Request Type Status combination is not shown it means that that combination has not effect on badging or access control

FOCI Requirements

Prior to issuing a Clearance Badge to a Laboratory sub-contractor (specifically, to any individual whose record in EIS has Person Type = CON, EXT, or VEN) it must be established that the individual is working under a FOCI approved contract. Currently, the FOCI database is an MS ACCESS file running on a PC that is used to maintain this information. The LANL FOCI Officer (S-6) maintains the data in this system with information provided by DOE/LAAO. This data is made accessible to the badging system by exporting the necessary data from the ACCESS file into the Enterprise Information Applications (EIA) environment (formerly Lab-Wide Systems).

BUSINESS RULES ON CLEARANCE LEVEL

1) No subcontractor employee (Person Type = CON, EXT, or VEN) will receive a cleared DOE Standard badge unless s/he is working under a FOCI-approved contract

2) The clearance badge received will be at the lower of (1) the clearance level of the subcontractor employee or (2) the clearance level at which the FOCI approval has been granted for the subcontractor/contract number in question

3) [**Dual/multiple interest**] When an individual is simultaneously employed under two or more contracts and the subcontracts are FOCI-approved at different clearance levels, the clearance badge received will be at the highest level amongst the FOCI-approved contracts, provided the individual is cleared to that clearance level; otherwise, badge the individual at his/her level, if lower.

   > *The above badging procedure only works properly provided the correct information is provided to the Badge Office via Form 917 (DOE Standard Badge Request) – the employer on the form must match the employer in the EIS record, but the contract number under which the person is to be badged, must be correctly indicated.*

   a) A person working under two or more cleared contracts is identified because that person's record in the Clearance System will show a Request Type of DUAL for the 2nd and any additional cleared contracts.

   b) Expiration date for dual clearance interests
      i) BASIC RULE: Use the expiration date of the highest clearance level contract for that terminates latest, e.g.,
      ii) If a person works under two or more contracts at the same clearance level, the expiration date of the badge will be the latest termination date amongst the contracts;
      iii) If a person works under two or more contracts that are at different FOCI-approved clearance levels, badge for the latest date amongst the highest clearance level contracts.

         > *NOTE: The requirements above for dual/multiple interest will not be enforced immediately, because the Clearance System was not modified until May 1999, to track this information. As the data becomes available it will be used to enforce the above rules.*

4) If the approved clearance level of a FOCI contract is downgraded or removed entirely:

a) Badge status, if ACTIVE, is changed to NOT ACCOUNTED FOR
b) Notify S-3
c) Change Access Status to INACTIVE

OTHER FOCI-RELATED MATTERS:

1) Define a table in an environment accessible to the Badging System to contain the required FOCI data. The data are essentially what is in the "Status of FOCI Contracts for LANL." In addition, it was determined that it would be beneficial to include a table indicating companies that are "Doing Business As." The table needs to include at least the following data items:
   a) Contractor Name
   b) Contract Number
   c) Contract Expiration Date
   d) FOCI Status
   e) Clearance level of FOCI approval
2) Establish a process to "refresh" the data in the EIA Environment on a regular basis. This involves the following:
   a) Develop a process to export the required data from the Access System in a File and FTP that File to an agreed upon location. CIC-15 has developed a script that will export the required data, write a file (FOCI.DAT) and FTP the resultant file to an identified location. *When data is exported "on demand," the CIC-13 DBA or back-up DBA must be notified (by telephone, e-mail) to upload the exported data into CIC-13's tables.*
   b) Develop a process to load the File into the EIA tables. CIC-13 DBAs will develop a procedure that will load the data from the file into the appropriate tables.
3) Establish a schedule for "refreshing" the data, including what to do in case of error. It was decided that the data should be refreshed daily. S-6 (the LANL FOCI Officer) will be responsible for insuring that the export will be run at least daily.
4) Until the FOCI database resides directly within the Enterprise Information Architecture, it will not be possible to suspend access and change the Badge Status from **ACTIVE** to **NOT ACCOUNTED FOR** (see above) automatically if a contract is terminated or its FOCI approval downgraded or removed.

REQUIREMENTS

1) The following summarize the security education requirements relating to clearance status and badging:
   a) Security Education Rules – Comprehensive Security Briefing:
      i) If Clearance Request Type is INITIAL and the Clearance Status is GRANTED then a Comprehensive Security Briefing must have been completed within 30 days of the clearance grant date and the S-6 Security Awareness Team must have a completed Form 312 on file.
          NOTE: There is no formal procedural enforcement of this rule at the present time.
      ii) If Clearance Status is TRANSFER-EXT, TRANSFER-INT, or RECIPROCAL and the Clearance Status is GRANTED, then a Comprehensive Security Briefing completed within 30 days of the transfer will meet the requirement
      iii) There is no Comprehensive Security Briefing requirement for any other Clearance Request Type / Clearance Status combination except those listed in i) – ii) directly above.
   b) Security Education Rules – Annual Security Refresher
      i) If Clearance Request Type is REINSTATE or RESTORATION and the Clearance Status is GRANTED, then the individual must be current on the security education requirement (either a Comprehensive Security Briefing or an Annual Security Refresher must have been completed within 12 months of badging).
      ii) If an individual is past the one-year anniversary for completing the Annual Security Refresher (based on the date of the original Comprehensive Security Briefing or the last Annual Security Refresher):
          (1) The individual's security access will be suspended, with appropriate notifications to S-3 Access Control Systems and the Badging System database; access will be restored when the refresher requirement has been met.
          (2) No badging services (temporary badge issuance, replacement of expired or damaged badge, badge reflecting clearance upgrade) will be provided until the security education requirement is met.
2) Miscellaneous issues, etc.:
   a) The relevant EDS course numbers are 8480 (Comprehensive [**LIVE**] Security Briefing), 17314 (Comprehensive [**ONLINE**} Security Briefing), and 1425 (Refresher).
   b) The badging system should be capable of indicating whether the Comprehensive Security Briefing was completed through the **LIVE** or the **ONLINE** mechanism
      1. Updating of security training is normally done as an overnight batch job, once the data is entered into EDS. Token Card authentication when submitting for security refresher crediting online results in "real time" updating (within approximately 15 minutes, plus time to update the badging tables.) Therefore, re-activation of a badge or ability to

process a badge depends on the mode of crediting the individual's Training Plan 729 to show it in compliance.

BUSINESS RULES

1) If the Clearance System Request Type is INITIAL, TRANSFER-EXT, TRANSFER-INT, or RECIPROCAL, the individual cannot be given a clearance badge unless the Comprehensive Security Briefing requirement has been satisfied (Courses 8480 or 17314 in EDS).

2) If an individual has not completed the Annual Security Refresher requirement (Course 1425 in EDS) within 12 months of the previous Annual Security Refresher completion date or within 12 months of the Comprehensive Security Briefing, no badging services will be provided (e.g., issuance of a Temporary badge, replacement of a lost or damaged DOE Standard Badge)

3) If an individual has not completed the Annual Security Refresher requirement (Course 1425 in EDS) within 12 months of the previous Annual Security Refresher completion date or within 12 months of the Comprehensive Security Briefing, access into security areas will be automatically suspended:
   a) Change Badge Status to **INACTIVE** if current status is **ACTIVE**
   b) Change Access Status to **INACTIVE**
   c) Notify S-3 that access has been inactivated

Local (Site) Information on DOE Standard Badge Zone 3 & Rear Side Requirements

1) Zone 3 Requirements
   LANL BADGES (Site code beginning CR)
   a) There will be no designation of category or affiliation (e.g., CON, CON/FOCI, JCNNM, PTLA, AFFILIATE)
   b) The expiration date will appear in the upper right corner in the format: dd-mmm-yy, where dd = two-digit day (e.g., 03, 31), mmm = three-letter month (e.g., JUN, OCT), and yy = the final two digits of the four-digit year (e.g., 99, 00)
   c) The Z number will appear in the upper left corner, without any prefix (e.g., Z#)
   d) If the DOE Standard badge holder is NOT a U.S. citizen, the country of current citizenship must be printed in Zone 3 in a minimum font size of Arial 10 per DOE requirements.
      The country of citizenship is printed in the same area as the 1/Z indicator (see below) and the CE indicator.
   e) A **1** or **Z** designator in Zone 3
      i) Is only indicated on the badge issued to a properly authorized person who:
         (1) Qualifies for a LANL-issued DOE Standard badge.
         (2) Is a UC employee (Employee Type = Lab Regular]
         (3) Holds an active Q clearance
         (4) Has completed required training
         (5) Belongs to BUS-4 (**1** designator) or S-4 (**Z** designator)
         (6) No person can simultaneously have **1** and **Z** indicators in Zone 3.
            The designation of a 1 or Z indicator (and its removal) is made by persons designated to have the authority to make such designation.
      ii) Removal of **1** or **Z** indicator results in:
         (1) Change of Access Status to **INACTIVE**
         (2) If Badge Status is **ACTIVE**, change it to **NOT ACCOUNTED FOR**
         (3) Notification of S-3 of change of access status to **INACTIVE**
   f) A **CE** (CERTIFIED ESCORT) designator in Zone 3
      i) Is only indicated on the badge issued to a properly authorized person who:
         (1) Qualifies for a LANL-issued DOE Standard badge.
         (2) Holds an active Q clearance
      ii) Removal of the **CE** indicator results in:
         iii) Change of Access Status to **INACTIVE**
         iv) If Badge Status is **ACTIVE**, change it to **NOT ACCOUNTED FOR**
         v) Notification of S-3 of change of access status to **INACTIVE**
   DOE/LAAO BADGES (Site code beginning CN) – Federal Employees
   a) The Z number will appear in the upper left corner, without any prefix (e.g., Z#)
   b) The right side (to the right of the gold square reserved for a future SmartChip) will read: LOS ALAMOS AREA OFFICE on the two lines reserved, on LANL badges for an expiration date and country of citizenship, if not U.S.
2) Reverse side of badge:
   a) Printed information

i) Boilerplate "If lost…." Statement
ii) Badge serial number (including letter prefix) bar code and regular text
iii) Z number bar code and regular text
iv) The barcodes for badge serial number and Z number must be positioned along different edges so that each can be read based on how the badged is swiped
v) Social Security number (without barcode) in a reserved area provided that the badgeholder requests in writing (via Laboratory Form 917, _DOE Standard Badge Request_) that the SSN is to be printed on the badge.
b) Magnetic stripe
i) First 20 characters on Track 2 contain meaningful information as specified in the DOE Badge Program (April 15, 1999) document
ii) Last 17 characters are a randomly generated number:
(1) Number is generated using a "seed" based on the individual's SSN and badge serial number
(2) For each new badge issued to an individual, the random number must be unique
(3) For each badge reprinted to replace a physically or magnetically damaged badge that has been turned in, the random number sequence is the same as on the previous badge (through storage of the number in a table)

Basic business rules

1) While multiple Exchange Badges can be issued to the same individual, no person can have more than one ACTIVE Exchange badge for the same facility or location.
2) An Exchange Badge with a LANL person's name on it is only issued if the individual has a currently **ACTIVE** LANL-issued DOE Standard badge or **ACTIVE** Visitor badge.
   a) An Exchange Badge cannot be issued during a period when a person has a Temporary Badge
   b) Generally a Temporary Badge can be presented at an Exchange Badge site for exchange.
      > **NOTE**: *Rules for Exchange badges with the person's name on it issued to non-LANL individuals are needed.*
3) Most Exchange Badge requirements are specified by the program/entity that requests the exchange badges – the badging system will have a minimum of logic behind it, since the Badge Office will not enforce most of the requirements.
4) Exchange Badges fabricated in response to a valid Exchange Badge Request (via Form 1671) will be given only to the designated Exchange Badge Program Manager of the requesting organizational component or to an individual authorized by the designated Program Manager (or back-up)
5) Special requirements for NIS Division:
   a) No one can be issued an NIS SCIF Exchange Badge unless they have an active Q clearance
   b) Zone 3 of Exchange Badges issued to NIS Division for use in its SCIF(s) will include on the top line of Zone 3 a set of six adjacent squares running from left to right. The squares will contain color coding in the following sequence:
      i) Square 1: Red
      ii) Square 2: Black
      iii) Square 3: Yellow
      iv) Square 4: Orange
      v) Square 5: Green
      vi) Square 6: Light Blue

NIS Division will specify which colors are to be used on badges issued to specific individuals. If a color is indicated, it will only appear in the designated square as listed above.
> NOTE: *The NIS SCIF colors are not stored by the badging system – therefore NIS SCIF badges cannot be reprinted.*

Access Control Requirements

S-3 Access Control

The Access Control System (here defined to cover all system installations, regardless of which Group, e.g., S-3, CIC-4, has oversight for a particular location) must be able to track the following events generated by/from the Badging System:

- Any change in badge status from/to ACTIVE
  - ✓ *Any Badge Status other than ACTIVE is equivalent to an access status of INACTIVE;*
  - ✓ *A very important specific instance of this is when a badge is made for the first time for an individual.*
- A badge expires
  - *Note: Applies to all badge types except those without a magnetic stripe or those badges with a magnetic stripe that are not encoded by the Badge Office (e.g., Exchange Badges encoded by another component of LANL)*

The Access Control System must be "notified" whenever the following events have occurred in the Clearance System:

- Change in an individual's Clearance Level, Request Type, and/or Status such as to indicate the clearance no longer exists or is no longer considered "active"
- Change in an individual's Access Status

The Access Control system must be capable of accepting the enrollment of valid cleared individuals from other DOE facilities who present a DOE Standard badge issued by their facility

CIC-4 Access Control

At this time, no link exists between the current badging system database and CIC-4's access control database. The badgeholder must notify CIC-4 directly to update the CIC-4 system.

Badging System Controlled List Values

Badge Status [allowed values and permitted value changes]

Null (initial value prior to any badge having ever been created/issued)

Created >>Active, Destroyed

Active >> All except Created

Inactive >> All except Created

Stored >> Active, Destroyed

Destroyed >> No other change permitted

Lost/Stolen >> No other change permitted

Not Accounted For >> Destroyed, Lost/Stolen

Status Reason

Null

> *Initial value prior to any badge having ever been created/issued*

New [First Issue]

Poor Quality / Wrongly Issued

Expired

Replace Previous Badge

Badge Returned

> *Applies when no other more specific reason is applicable*

Temporary Badge Issued

Temporary Badge Returned

Lost

Stolen

Intermittent Status – Away

Intermittent Status – Return

Change of Employer

Facial Change

Name change

> *Legal name change reported to S-6 Clearance Processing Team or a name change in EIS that results in issuance of a replacement badge*

Change of Clearance Status

Access Suspended

> *Excludes Surrendered for Cause*

Surrendered for Cause/SA

> *Access to Laboratory security areas has been suspended – this does not necessarily mean a person's clearance has been suspended. There are a variety of reasons why access may be suspended.*

Surrendered for Cause/PR

> *Physical presence **anywhere** on Laboratory property has been suspended – this does not necessarily mean a person's clearance has been suspended. This includes security areas, property-protected non-security areas, open buildings (e.g., the Research Library), and the grounds of the Laboratory. There are a variety of reasons why access may be suspended.*

Access Restored

No Show

Used only in conjunction with a Visitor Badge to indicate that though a badge was printed in advance for an expected visitor, the visitor did not show up and the badge was destroyed by its expiration date.

Std Badge Not Available

Used only when issuing a visitor badge to DOE Visitors who did not come to LANL with their DOE Standard badge and thus had to be processed as any other cleared visitor.

Special Designator Removed

*Authorities have been cancelled that permit a special designator to appear on the badge – these currently are used to indicate a **1** or **Z** (for Special Nuclear Materials handling) or **CE** (for Certified Escort*)

Termination: Transfer of Clearance

Termination of Laboratory Affiliation

Other/Unspecified Reason

Access Status *[This field applies to the individual's access, not the badge's access]*

Active

Only ACTIVE grants access.

Inactive

Access Status Reason

No Active Clearance

Clearance Downgrade

Clearance Reinvestigation Late

Expired

Legal Name Change

Security Refresher Noncompliance

Special Designator Removed

Temporary Badge Issued

Temporary Badge Returned

Surrendered for Cause

Access Restored – Suspension for Cause Lifted

Termination

Termination – STS/woS

NOTE:

There are two situations that need to be taken into account, but at this time, no solution has been developed. These are:

No Badge Required
Do Not Badge

Since the Loronix Badging System screens imply creation of a badge, either of the above situations have to be tracked in a way that attempting to issue a badge is pre-empted by these reasons.

Table of Badge Status Reasons
[by Badge Status / Badge Type]

BADGE STATUS	STATUS REASON	BADGE TYPE
Null	• Null	• All
Created	• New [First issue] • Replace Previous Badge • **Temporary Badge Issued**	• All • All • **TM-STD, TM-UFN**
Active	• New [First Issue] • Replace Previous Badge • Intermittent Status – Return • Access Restored • Temporary Badge Issued • Temporary Badge Returned • **Std Badge Not Available**	• All • All • STD, UFN • STD, TM-STD • TM-STD, TM-UFN • STD, UFN • **CV, UV**
Inactive	• Temporary Badge Issued • Intermittent Status – Away • Access Suspended	• TM-STD, TM-UFN • STD, UFN • STD, CV
Stored	• Intermittent Status –Away	• STD, UFN, CV, UV
Lost/Stolen	• Lost • Stolen	• All
Destroyed	• Expired • Badge Returned • Change of Employer • Change of Clearance Status • **Facial Change** • **Name Change** • **No Show** • Poor Quality / Wrongly Issued • Surrendered for Cause/SA • Surrendered for Cause/PR • Special Designator Removed • Termination: Transfer of Clearance • Termination of Laboratory Affiliation	• All • All • STD • STD, STD-TM • **STD, UFN, CV, UV, EX** • **All** • **CV, UV** • All • STD, STD-TM, **EX** • STD, STD-TM, **EX** • STD • STD, TM-STD, **UFN, TM-UFN** • STD, TM-STD, **UFN, TM-UFN**
Not Accounted For	• Expired • Temporary Badge Issued • Intermittent Status –Away • **Change of Clearance Status** • Change of Employer • Name Change • **Access Suspended** • Surrendered for Cause/SA • Surrendered for Cause/PR • Special Designator Removed • **Termination: Transfer of Clearance** • **Termination of Laboratory Affiliation**	• All except EX • TM-STD, TM-UFN • **STD, UFN** • **All except UFN** • STD • STD, UFN • **STD** • All **except EX** • All **except EX** • STD • **STD, STD-TM** • **STD, STD-TM**

Badging Scenarios for Business Rules

For each scenario, the appropriate Badge Status and Reason and Access Status and Reason are provided.

Scenario	Badge Type	Badge Status *	Badge Status Reason	Access Status	Access Status Reason
DOE Standard Badge holder is issued a Temporary badge	STD	Inactive	Temporary badge issued	Inactive	Temporary badge issued
DOE Standard Badge holder returns Temporary badge	STD	Active	Temporary badge returned	Active	Temporary badge returned
DOE Standard Badge holder is issued a Temporary badge	TEMP-STD	Active	Temporary badge issued	Active	Temporary badge issued
DOE Standard Badge holder returns Temporary badge	TEMP-STD	Destroyed	Temporary badge returned	Inactive	Temporary badge returned
Uncleared Foreign National Badge holder is issued a Temporary badge	UFN	Inactive	Temporary badge issued	Inactive	Temporary badge issued
Uncleared Foreign National Badge holder returns Temporary badge	UFN	Active	Temporary badge returned	Active	Temporary badge returned
Uncleared Foreign National Badge holder is issued a Temporary badge	TEMP-UFN	Active	Temporary badge issued	Active	Temporary badge issued
Uncleared Foreign National Badge holder returns Temporary badge	TEMP-UFN	Destroyed	Temporary badge returned	Inactive	Temporary badge returned
Clearance changes to SUSPEND/SA	STD TEMP-STD	Not Accounted For	Access Suspended/SA	Inactive	Surrendered for cause
Clearance changes to SUSPEND/PR	STD TEMP-STD	Not Accounted For	Access Suspended/PR	Inactive	Surrendered for cause
Clearance changes to ACCESS RESTORED	STD TEMP-STD	Active	Restored-Suspension for cause lifted	Active	Restored-Suspension for cause lifted
Clearance changes to TERMINATION + DETAIL value	STD TEMP-STD	Not Accounted For	Change of Clearance Status	Inactive	Termination

is STS/wSig					
Clearance changes to TERMINATION + DETAIL value is STS/woSig	STD TEMP-STD	Not Accounted For	Change of Clearance Status	Inactive	Termination – STS/woSig
Clearance changes to SUSPENDED	STD TEMP-STD	Not Accounted For	Change of Clearance Status	Inactive	No Active Clearance
Clearance changes to REVOKED	STD TEMP-STD	Not Accounted For	Change of Clearance Status	Inactive	No Active Clearance
Clearance changes to ADMINISTRATIVE TERMINATION	STD TEMP-STD	Not Accounted For	Change of Clearance Status	Inactive	No Active Clearance
Clearance changes to DOWNGRADE	STD TEMP-STD	Not Accounted For	Change of Clearance Status	Inactive	Clearance Downgrade
Clearance changes to UPGRADE w/Q	STD TEMP-STD	[No change]	[No change]	[No change]	[No change]
Clearance changes to UPGRADE w/oQ	STD TEMP-STD	[No change]	[No change]	[No change]	[No change]
Clearance DETAIL of Name Change added	STD TEMP-STD	Not Accounted For	Name Change	Inactive	Legal Name Change
Expiration of badge	All	Not Accounted For	Expired	Inactive	Expired
Termination personnel action processed	All	Not Accounted For	Termination of Laboratory Affiliation	Inactive	Termination
Annual Security Refresher requirement not met	STD TEMP-STD	[No change]	[No change]	Inactive	Security Refresher Noncompliance
Clearance reinvestigation paperwork not turned in	STD TEMP-STD	[No change]	[No change]	Inactive	Clearance Reinvestigation Late
Special Designator removed		Not Accounted For	Special Designator Removed	Inactive	Special Designator Removed

* The Badge Status shown is based on the prior status being ACTIVE, INACTIVE, or STORED

1) Reprint/replace existing badge with the same badge serial number
2) Import/Export of images in standard image formats
3) Option to create a DOE Standard badge by suspending/ignoring some/all business rules (This will require a special authority invoked at the moment the rule needs to be overridden.) The rules that may need to be overridden are:
   a) Clearance not held on behalf of LANL or DOE/LAAO
   b) Employee type is not a category qualifying for a LANL-issued DOE Standard badge
   c) Issuance of a Temporary badge for more than 7 calendar days before expiration
4) Record retrieval through magnetic swiping or barcode reader.
5) Enrollment of a DOE Standard badgeholder from another site
   a) A non-LANL DOE/DOE contractor employee whose clearance has been extended to LANL (such a person will be assigned a Z number and will be tracked in the Clearance System) cannot be issued a DOE Standard badge – such an individual can only be enrolled for access control
   b) The following data must be captured to properly enroll a non-LANL DOE Standard badgeholder:
      i) Badge serial number [preferably by direct reading from the magnetic stripe encoding]
      ii) Social Security number [preferably by direct reading from the magnetic stripe encoding]
      iii) Name on badge
      iv) Clearance level on badge
      v) Employer
      vi) One-year enrollment or expiration date on badge, whichever comes first
      vii) Badge status
      viii) Z number: value will be 000000
      ix) Group: no value
   c) Enrollment data will be stored in an Oracle table
   d) Features built into the enrollment system to:
      i) Delete enrollment of a badge prior to the enrolled expiration date
      ii) Prevention of enrolling more than one badge for the same person during all or some of the active enrollment period
      iii) Updating information
6) Batch printing of badges based on a specified algorithm
7) Batch updating (e.g., badge status) of a field, based on entering (or bar-code reading of) a set of badge serial numbers (e.g., changing the Badge Status to DESTROYED for a set of badges).

1. When an individual is "terminated" (according to the TERMDATE in PIDPERS Table) then:
   - ✓ If Clearance Level, Request Type and Status indicates an "active" clearance:
     - then send notification to S-3 removing their access
     - set the Clearance Status to ON HOLD
   - ✓ If the Badge Status is **ACTIVE** then set the Badge Status **to NOT ACCOUNTED FOR**

2. When the Employer in PIDPERS is different from the EMPLOYER in the Clearance Table then:
   - ✓ If Clearance Level, Request Type and Status indicates an "active" clearance:
     - then send notification to S-3 removing their access
     - and set their Clearance Status to ON HOLD
   - ✓ If the Badge Status is **ACTIVE** then set the Badge Status to **NOT ACCOUNTED FOR**

3. When the original Comprehensive Security Briefing or the last Annual Security Refresher (whichever is more recent) was completed more than 12 months previously and the clearance is "active" (per the rules governing Clearance Level, Request Type, and Status) then:
   - ✓ If the Badge Status is **ACTIVE** then set Badge Status to **INACTIVE**
   - ✓ Send notification to S-3 inactivating access

Batch Badge Printing Requirements

Below are summarized criteria for batch printing of badges. When badges are batch printed before actual issuance the Badge Status is *always* set to **CREATE**.

1) Standard badge by:
    a) Last name
    b) Group
2) Exchange badge by site

Data Warehouse Reports

A summary of the standard or "canned" reports that will be available from the Data Warehouse relating to badging.

1) The following reports will be needed from the EIA Data Warehouse:
    a) All changes in clearance level by several criteria:
        i) Within a specified date range
        ii) By employee type
        iii) By Group
    b) Latest badge issued
    c) Latest badge portrait image on file
    d) Count of temporary badges issued per individual or for an org code
    e) Count of lost/stolen badges per individual or for an org code
2) Standard Data Warehouse report
    a) Query screen should include, at a minimum, the following possible criteria
        i) Date range (date = badge status date)
        ii) Badge status
        iii) Badge status reason
        iv) Access status reason
        v) Badge type
        vi) Org code
        vii) Z number
        viii) Clearance level
        ix) Name of badgeholder
        x) Citizenship
        xi) Expiration date (equal to, less than or equal to, greater than or equal to, etc.)
    b) Display fields should include (special requirements apply to the Temporary badge report):
        i) Z number
        ii) Name
        iii) Clearance level
        iv) Badge status
        v) Date of badge status
        vi) Badge status reason
        vii) Access status reason

Summary of Significant Issues Identified

A listing in summary format of the issues affecting badging and implementation of the badging system. The issues are not listed in priority order.

ISSUE	Proposed Solution
1. Establishing citizenship of uncleared individuals	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project
2. Use of legal name in EIS based on official documentation	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project
3. No formal process exists to control name changes in EIS	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project
4. Use of nicknames versus formal (i.e., legal) name	PROPOSED SOLUTION A. Include nickname field in the badging screens B. Allow name retrieval in EIS and FINGER using nickname C. Use nickname as part of name on badge provided it is in the EIS nickname field
5. Intentional alteration of SSN at the Group level	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project
6. Proliferation of numerous affiliate programs that are difficult to distinguish	ACTION ITEM: Valerie Trujillo has agreed to provide documentation on all specific affiliate programs and categories
7. Poor integration between Affiliate Database and other systems	VERY SIGNIFICANT PROBLEM but cannot be solved by Implementation Project
8. No expiration date on uncleared badges for those under contract to or formal agreement with the Laboratory	PROPOSED SOLUTION: Except for those in student programs, uncleared badges will have an expiration date based on agreement or contract termination date, as is already done with cleared badges
9. Z numbers are not assigned to all individuals for whom the Badge Office issues a badge bearing the individual's name (e.g., visitors, uncleared foreign nationals)	PROPOSED SOLUTION: Assign a Z number to every person who will receive any type of badge from the Badge Office that bears the name of the badgeholder (Note: these individuals will appear in the Laboratory Directory during the timeframe of their visit, assignment, etc.
10. Group responsibility to populate various fields of critical personnel data causes numerous problems	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project

11. No good mechanism exists to communicate with subcontractors on important personnel security policies, procedures, problems, changes	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project. PARTIAL POSSIBLE SOLUTION: Ralph Montoya is trying to develop an e-mail group alias of FOCI-approved subcontractors
12. ProForce is not networked to Badge Office data	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project – a solution is in theory simple and relatively inexpensive, but the will needs to exist to make it happen
13. ProForce does not use swipers at manned posts (while staffed)	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project – a solution is in theory simple and relatively inexpensive, but the will needs to exist to make it happe
14. Current procedures make it difficult to ensure that a person is in hire status rather than offer status and has fulfilled certain requirements prior to being badged	PROPOSED SOLUTIONS: A. Redefine current PA data entry procedure followed by Payroll B. Change responsible unit from BUS to HR C. Add a "flag" in EIS to indicate that even though an individual is shown in offer status, has actually hired on
15. It is not possible to use EIA, the basis for establishing an individual's identity, to distinguish between an employee of a LAAO subcontractor and a LANL subcontractor.	PROPOSED SOLUTION: Badge DOE/LAAO subcontractors identically to LANL subcontractors, using the **CO**, rather than the **CN** prefix.
16. No distinction made on the badge between Affiliates and Associates – they are all shown as Affiliates	PROPOSED SOLUTION: Eliminate all designations on badge – the use of an expiration date indicates individual works under an agreement/contract
17. Associates and those in Affiliate Programs receiving a badge upon renewal of their agreement do not need to submit Form 917	PROPOSED SOLUTION: Require submission of Form 917 upon renewal of the agreement of someone in an Affiliate category or an Associate
18. Any Group Office with an individual in one of the Affiliate programs can update the Type of Appointment End Date field – this field should be controlled only by the Affiliates Program Offices	PROPOSED SOLUTION: Develop a program to periodically compare end dates in the Affiliates Database with the end dates in EIS and flag any that are discrepant to determine the source of the problem and make an appropriate fix.
19. There is no way for the Badge Office to determine that a company has a valid contract with the Laboratory when badging an employee of that company	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project
20. No rigorous procedures exist to ensure	PROPOSED SOLUTION: As part of

individuals who change employment status obtain a new badge (e.g., going from one subcontractor to a different one)	implementation effort, any change of employer automatically inactivates the badge status, making it unusable in all access control readers
21. CIC-4's access control systems cannot recognize badge expiration dates or a badge status of INACTIVE	SOLUTION: CIC-4 is in the process of implementing software that can recognized badge status and expiration date
22. No reliable system in place to ensure return of badge upon termination of an uncleared individual	PARTIAL SOLUTION: The Badge Office no longer signs off on the departure processing checklist for UC employees unless the uncleared badge is returned. PROBLEM: Subcontractor companies do not do a consistently good job of ensuring the badge is surrendered by their terminating employees
23. Two separate databases contain duplicate clearance data – DOE's CPCI and LANL's Clearance System – they are not always in sync	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project
24. PSAP notifications are handled by telephone, fax, e-mail, not through automated procedures	PLANNED SOLUTION: Move PSAP data to Lab-wide systems to support data validation, appropriate controls, and checks
25. If individual fails to go through proper termination procedures, there is no integrated approach – each affected area is on its own	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project and does not directly affect badging
26. Delays in processing termination personnel action can result in various problems	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project
27. S-3 needs to know who has terminated from the Laboratory in order to remove them from site-specific access control systems it manages (e.g., X Division), but only initiates update of its database through a manual action	S-3 should take the lead in taking advantage of the new badging system implementation to support improved management of site-specific access control readers
28. Difficult to uniquely identify uncleared foreign nationals - Z number are assigned to uncleared foreign nationals only in some, not all circumstances	See #9
29. Foreign national data is entered multiple times on several forms and in numerous databases	FV&A should be the lead in making necessary work flow and process management improvements
30. U.S. citizen visitors can have visits as long as 30 days without being required to be issued a picture badge	PROPOSED SOLUTION: Visitors at the Laboratory for greater than 10 days must have a picture badge – the 10 day period ties in with other Laboratory requirements (e.g., GET Training)

31. Certifying that GET training requirement has been met is difficult, and therefore, badge issuance cannot be predicated on its fulfillment	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project
32. Currently certain key personnel data fields are not mandatory in EIS – these include citizenship and DOB, and sex (needed for uncleared foreign nationals.)	PROPOSED SOLUTION: The Policy Office make a decision that since these fields are necessary for badging and management of uncleared foreign nationals, they be mandatory data and the EIS be modified accordingly.
33. As a result of practical considerations, uncleared individuals in Laboratory casual status will continue to receive a badge with no expiration date, even though this results in poor badge control	SIGNIFICANT PROBLEM but cannot be solved by Implementation Project – see #8
34. EDS upload of security education course completion only once every 24 hours	Real-time or frequent updating
35. Failure to complete annual security refresher	Access suspended once more than one month out of compliance; no badging services provided immediately upon being out of compliance
36. Online security refresher requires no authentication, opening up approach to abuse (which appears to have occurred)	Implement authentication requirement for taking online training and obtaining credit
37. Individuals do not get rebadged when changing employers who provide services to the Laboratory	Suspend access automatically if there is a mismatch between the clearance employer and the EIS employer
38. Individuals fail to go through the Security Termination Statement process	Prevent issuance of a future badge to any individual who has not completed the STS process; if the individual is working under another contract to the Laboratory, suspend access on the current badge